

**DEPARTMENT OF THE NAVY
BUREAU OF NAVAL PERSONNEL
5720 INTEGRITY DRIVE
MILLINGTON TN 38055-0000**

**IN REPLY REFER TO
BUPERSINST 5400.9K
PERS-03
22 Sep 2000**

BUPERS INSTRUCTION 5400.9K

From: Chief of Naval Personnel

Subj: ORGANIZATIONAL STRUCTURE AND MISSION AND FUNCTIONS OF
ACTIVITIES UNDER COMMAND/SUPPORT OF CHIEF OF NAVAL
PERSONNEL (CHNAVPERS)

Ref: (a) OPNAVINST 5450.171C
(b) OPNAVINST 1000.16J
(c) OPNAVINST 5450.169D

Encl: (1) Organization Guidelines for CHNAVPERS Field
Activities
(2) Format for Portraying the Organizational
Structure in Chart Form
(3) Format for Aligning Billet Sequence Codes (BSC)
to Organizational Structure
(4) Suggested Words for Functional Statements

1. Purpose. To issue revised procedures for submission, review, and approval of the organizational structure, mission, and functions of activities under command/support of Chief of Naval Personnel (CHNAVPERS) and to provide guidelines for use in aligning an activity's organizational structure with the Activity Manpower Document (AMD). This instruction is a complete revision and should be read in its entirety.

2. Cancellation. BUPERSINST 5400.9J.

3. Background. Reference (a) assigns Echelon 2 commanders responsibility for ensuring mission and functions instructions of assigned shore activities are current, issuing mission and functions instructions for each shore activity assigned to their command, and approving organizations for shore activities in their chain of command. CHNAVPERS reviews and approves organizational structures of subordinate Echelon 3 and 4 activities to ensure that

a. principles of organization and position management are applied throughout the organization.

b. standard terms and format for describing organizational structure in chart form are applied consistently.

c. activities whose size and mission are similar have similar organizations.

d. manpower documents reflect approved organizations.

4. Delegation of Authority and Responsibilities. CHNAVPERs delegates authority and responsibilities in paragraph 3 to Commander, Navy Recruiting Command (COMNAVCRUITCOM), for subordinate Echelon 4 and 5 activities.

5. Applicability. This instruction is applicable to all activities under command/support of CHNAVPERs.

6. Submission of Organization Proposals. Organization proposals will be submitted to Bureau of Naval Personnel (BUPERS), Manpower and Organizational Plans Office (PERS-03). Proposals not submitted in sufficient detail will be held without action until additional information is provided by the activity. Per reference (b), changes to the AMD, if required, will not be made prior to approval of proposed organization change. Guidelines for submitting organization changes are provided in enclosures (1) through (4) and as a minimum shall include

a. Statement of complete background of conditions creating the need for change.

b. Statement of benefits expected from the change; i.e., more efficient, enhances customer service, and significant cost savings.

c. Copy of current and proposed organization charts. Charts must depict all organizational elements down to the lowest level as illustrated by enclosure (2).

d. Breakdown of current manpower structure associated with each organization element, cross-walked to the proposed manpower structure as illustrated in enclosure (3).

e. Current and proposed organization functions and task statements clearly annotated to identify revisions, additions and deletions. Use enclosure (4) as a guideline in writing these statements. These statements appear in the activity's organization manual and should not be confused with the activity's overall mission and function instruction issued by CHNAVPERs.

7. Evaluation Procedure

a. BUPERS (PERS-03) and the cognizant program manager will analyze and evaluate proposed changes to ensure compliance with guidelines contained in enclosures (1) through (4). Following this evaluation, a proposal will be submitted to CHNAVPERS for approval with appropriate recommendations.

b. Activities will not implement proposed organization changes until notified of approval. Revised organization charts will be forwarded to activities as soon as possible following approval.

c. Upon notification of approval, activities should submit manpower authorization change requests using the Total Force Manpower Management System (TFMMS) Micro Manpower Change Application (TMMCA) software, if available, or submit an annotated AMD to BUPERS (PERS-03) for realignment of manpower to the new organization.

d. BUPERS (PERS-03) will work closely with activities to resolve issues which may preclude approval of organization changes prior to submission to CHNAVPERS; however, should a proposal be disapproved, activities will receive notification along with rationale for the unfavorable decision.

8. Mission Statements. Mission statements for each activity in the shore establishment is approved by Secretary of the Navy (SECNAV) and issued by an OPNAV 5450 notice. CHNAVPERS activities will submit changes to their mission statement to Chief of Naval Operations (CNO) (N09B2) via the chain of command per reference (c).

9. Function Statements. Function statements for activities in the shore establishment are approved by the appropriate echelon command. Activities under CHNAVPERS will submit changes to their function statements to BUPERS (PERS-03) via the chain of command.

10. Management Assistance. BUPERS (PERS-03) facilitates and coordinates all organizational issues for CHNAVPERS claimancy and is available to assist with specific questions or for general help with organizational problems.

11. Action. Addressees will

a. Take appropriate action to ensure they have an effective organizational structure designed to support their assigned

mission. All activities should maintain an approved organization chart that depicts their current structure.

b. Maintain an organization manual that reflects the organizational structure approved by CHNAVPERS and provide a copy with appropriate updates to BUPERS (PERS-03).

c. Submit all proposed changes to mission statements to CNO via the chain of command.

d. Submit proposed changes to function statements to BUPERS (PERS-03) for CHNAVPERS approval and issuance.

e. Ensure AMD's reflect the approved organizational structure using billet sequence codes derived from hierarchical structure of each organizational element, as illustrated in enclosure (3). To eliminate confusion created by frequent changes, activities should strive to update their organizational structure in conjunction with their annual review of the AMD.

f. Submit manpower authorization change requests using TMMCA, if available. Activities that do not have TMCCA should annotate changes on their AMD and forward to BUPERS (PERS-03).

G. L. HOEWING
Rear Admiral, U.S. Navy
Deputy Chief of Naval Personnel

Distribution: (See next page)

Distribution:

SNDL C55A	(BUPERS Detachments)
C55F	(NAMALA WASHINGTON DC)
FJA2	(NAVY BAND WASHINGTON DC)
FJA3	(COMNAVPERSCOM MILLINGTON TN)
FJA4	(COMNAVCRUITCOM MILLINGTON TN)
FJA9	(EPMAC NEW ORLEANS LA)
FJA10	(NAVMAC MILLINGTON TN)
FJA11	(NAVJNTSERVACT NS TOKYO JA)
FJA12	(NAVCONBRIG CHARLESTON SC/MIRAMAR CA)

ORGANIZATION GUIDELINES FOR CHNAVPERS FIELD ACTIVITIES

1. Principles of Organization

a. Unity of Command. Each individual and each organizational element must be held accountable to only one superior for the performance of assigned responsibilities.

b. Span of Control

(1) Maximum number of subordinates effectively supervised by a single superior will vary due to such factors as the

(a) complexity of mission,

(b) dissimilarity of functional components of the organization,

(c) degree to which the nature of subordinate functions permits satisfactory operation with minimum supervision,

(d) extent of coordination required between subordinates,

(e) distance separating subordinates from the superior and,

(f) type of management data and communications systems.

(2) Degree to which supervisors may extend themselves by subdividing, delegating, and distributing their responsibilities is dependent upon amount of time and understanding they can devote to guiding, controlling, and motivating subordinates to full effectiveness.

(3) One of the key recommendations in the 1993 report of the National Performance Review (NPR) was to pare down the systems of over control and micromanagement. The government-wide ratio of civilian supervisors to employees in 1993 was 1:7 and NPR recommended halving the ratio to 1:15. Department of the Navy (DON) ratio of supervisors to employees in 1993 was 1:8, and DON's planned goal is increase the ratio of employees to supervisors to 1:16.

c. Functional Grouping. For an effective organization, each component will

(1) constitute a logical, separable field of responsibility: A natural subdivision of the total tasking, the scope and jurisdiction of which can be clearly defined;

(2) have a single, properly qualified officer, supervisor, or staff member fully accountable; and

(3) have clearly defined boundaries which establish limits of authority.

d. Delegation of Authority. An organization will be structured to permit rapid decision making, which means the authority to act must be as close as possible to the level at which the work is performed. Supervisors at all levels will be given sufficient authority to act in all cases where review by higher authority is not absolutely essential. This minimizes the burden of management at higher levels and maximizes the challenge and stature of the individual job.

e. Minimize Layering. An organization subdivides into two or more elements, never into one. For example, a division must subdivide into at least two branches or it may not subdivide at all. The rule of "two or more" applies all the way down the line; however, an organizational element may be subdivided only when each of the elements resulting from the subdivision will have a distinct job to do and enough people to justify a supervisor (a "supervisory" position is one that meets the requirements for a supervisory title per current OPM classification and job-grading guidance). Function/task assignments can and should be made to single individuals or to small groups of individuals by the use of descriptive job titles rather than by creating a fragmented organizational structure consisting of divisions, branches, sections, or units with little substance.

f. Deputies/Assistants. Deputy/assistant positions do not exist primarily for continuity. In each case, the supervisory workload is too much for one person, or the superior is frequently away for extended periods and the deputy/assistant must make major decisions in the supervisor's absence. Such responsibility cannot be assigned on a part-time or rotating basis to other personnel.

2. Structure

a. Line. A line organization performs substantive functions that are explicitly a part of the activity's mission.

b. Staff. A staff organization supports one or more line organizations by providing advice, assistance, and service that may cross organizational lines. This type of organization is not limited to administrative functions; e.g., mail directives, etc., but can also apply to mission-related functions that are integral to the line components it supports.

c. Department. A line component that performs functions which constitute a substantive element of the basic mission and objective of the activity.

d. Staff Office. A staff component that provides advice, assistance, and service. Staff organizations are structured in the same manner as a line component; e.g., department or division, and maintain the same reporting channels and stature in the overall organization as the line components supported. Staff organizations will appear only at the division level or above and are titled "Office."

e. Division. A component that performs functions which constitute a significant segment of the total responsibility of the parent line department or staff office. Divisions can be further subdivided into staff offices, branches, sections, and units only when each of the elements resulting from the subdivision will have a distinct job to do and enough people to justify a supervisor (at least three people performing the essential, not supportive, work).

f. Special Assistant. A staff component that serves one manager for a particular subject/function and may have subordinates depending upon the size and nature of the support function.

3. Mission and Functions Statement. A mission is a concise, unclassified statement; in general, a term that describes what is to be accomplished by integrated efforts of the activity as a whole. For departments and divisions within an activity, a brief statement of the major functions must be submitted. Functional statements reflect the work performed in these organizational elements that support the mission and differentiate one element from another, not the duties of individuals within them. Enclosure (4) suggests action verbs that will facilitate common understanding of functional statements when universally used.

4. Major Responsibilities/Tasks. Major responsibilities/tasks are performed in support of the functions. These statements will be concise and numbered sequentially, identifying the organization code in which each major responsibility/task is performed. Major responsibilities will be written for organizational elements below the division level.

5. Titles

a. The title of the official in command shall be determined based on the following:

(1) Commander. Title is normally applicable to flag officer billets or to an officer commanding more than one shore activity of Department of the Navy (DON).

(2) Commanding Officer. Title assigned to officer billets for military heads of shore activities of DON when responsibilities are commensurate with those contained in article 0802 of U.S. Navy Regulations, 1990.

(3) Officer in Charge. Title assigned to officer billets for all military heads of shore activities of DON not within the scope of criteria of the subparagraphs above.

(4) Petty Officer in Charge. Title assigned when the military billet for the head of a shore activity of DON is of petty officer rating.

(5) Director. Title for head of a shore activity of DON used in certain instances, normally a civilian head. When a military head, this title must be accompanied by a designation of status as "commander," "commanding officer," or "officer in charge."

b. The title of a full-time second in command is determined by the title assigned to the officer in command of the activity. Examples are

Officer in Command
Commander
Commanding Officer
Officer in Charge
Director

Second in Command
Deputy Commander
Executive Officer
Assistant Officer in Charge
Deputy Director

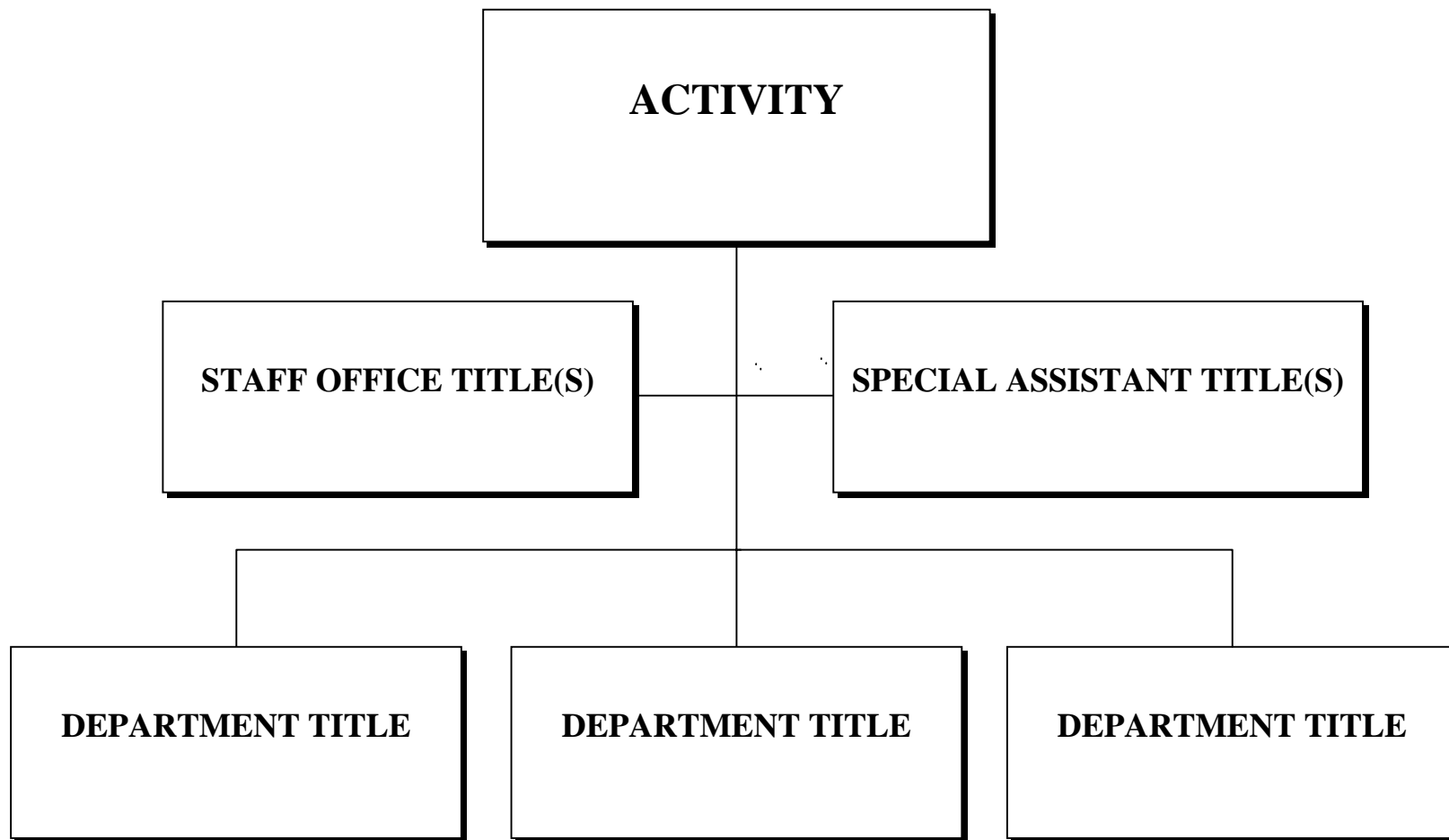
The manner in which the second in command functions at an activity is determined by the officer in command of the activity; however, any duties beyond those permitted by a strict interpretation of Navy Regulations will be clearly defined and made known within the activity. This information will also be submitted with any proposed change which has an effect on the duties assigned to the second in command. In those activities that do not require a full-time second in command, senior line managers (i.e., department directors) may be assigned the role as a part of their normal duties.

c. Titles for managers at other levels within the activity should be used as follows:

- (1) Director for
 - (a) department,
 - (b) division, and
 - (c) activity- or department-level staff office.
- (2) Head for
 - (a) branch,
 - (b) section,
 - (c) unit, and
 - (d) division-level staff office.

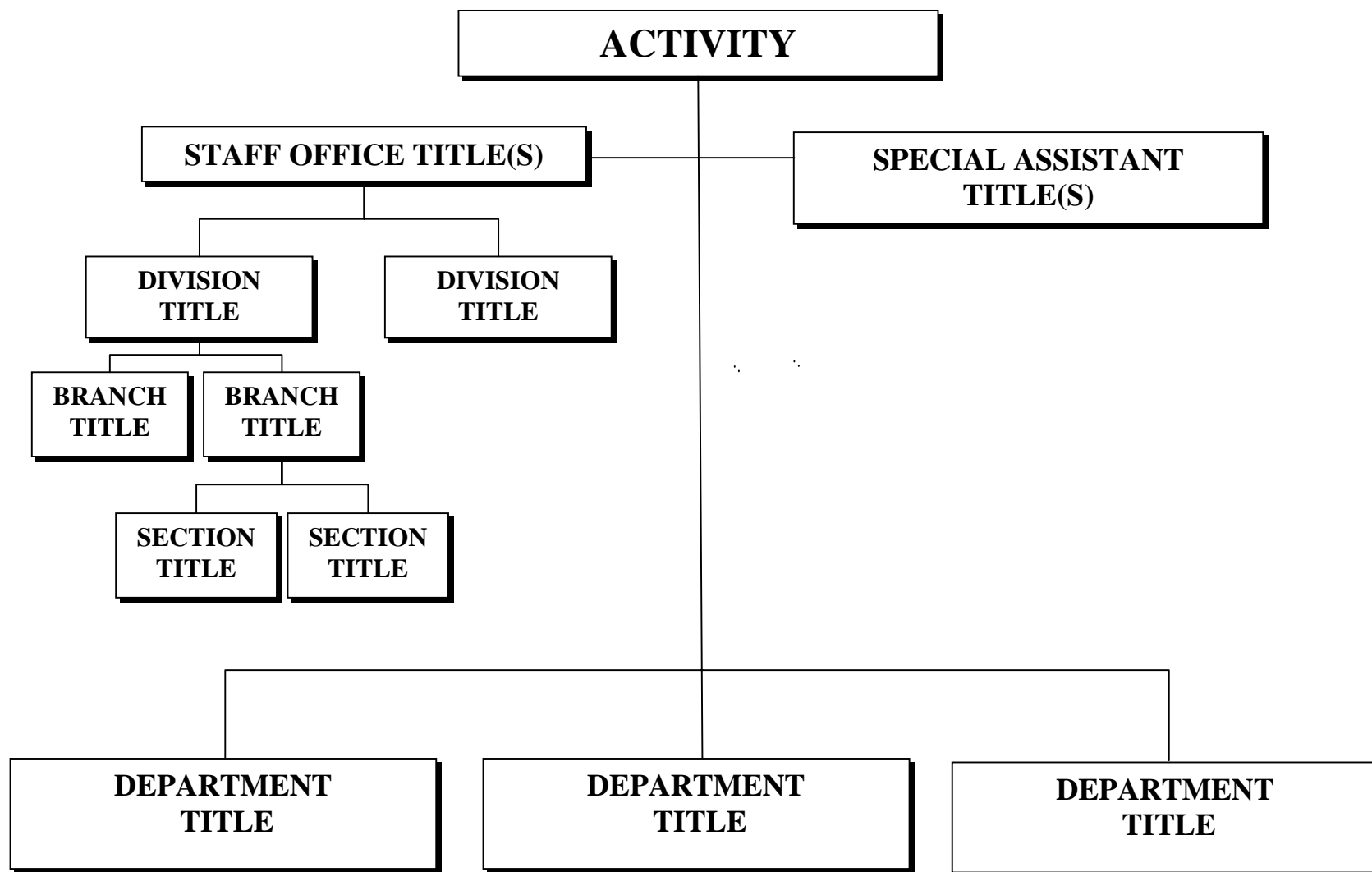
6. Format of Organization Charts. Enclosure (2) illustrates the standard format to be used in portraying an organization's structure.

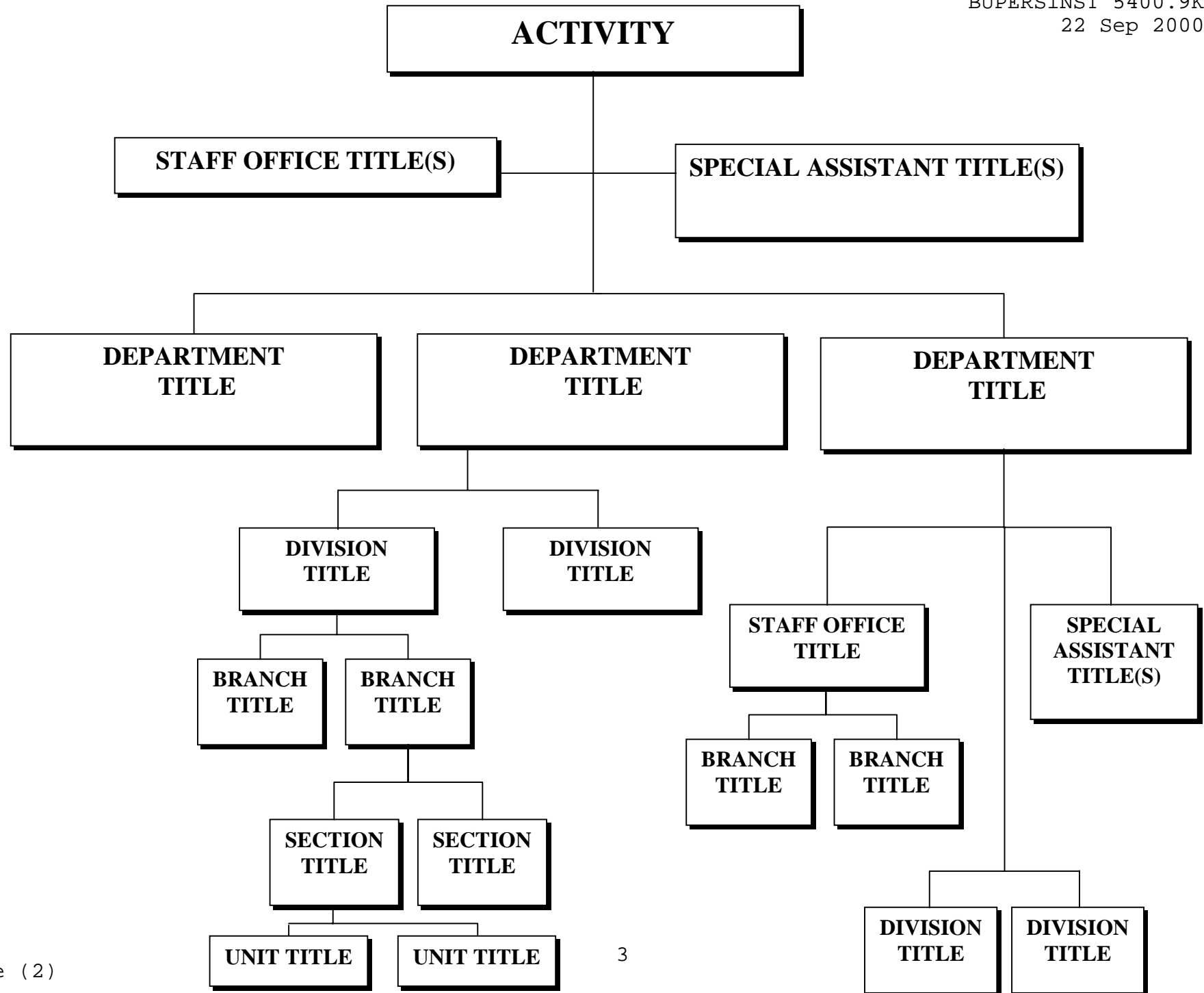
7. Organization Codes. There is no official coding structure within CHNAVPERS claimancy; however, a coding structure should be developed at each activity that is consistent and clearly delineates special assistants, staff offices, and departments.



Enclosure (2)

BUPERSINST 5400.9K
22 Sep 2000





Format for Aligning Billet Sequence Codes (BSC's) to Organizational Structure

Current BSC	Proposed BSC	Rank/ Rate/ Grade	Proposed Title	Officer/ Enlisted/ Civilian (O/E/C)	Proposed Org Code	Previous Org Code
N/A	00100	N/A	EXECUTIVE DEPARTMENT AND SPECIAL ASSISTANTS			
00100	00105	CAPT	Commanding Officer	O	00	00
00120	00110	CDR	Executive Officer	O	00B	00B
00010	00115	GS-07	Command Secretary	C	00S	00S
00100	00120	GS-12	Management Analyst/Special Assistant for Internal Review	C	00D	00D
00120	00125	GS-11	Management Analyst	C	00D	00D
00130	00130	GS-09	Program Analyst	C	00D	00D
00700	00135	BMCM	Command Master Chief	E	00F	00F
00048	00140	GS-09	Equal Employment Manager/ Special Assistant for Equal Employment Opportunity	C	00G	00G
02100	00145	CDR	Chaplain	O	00H	00H
00780	00150	RP2	Religious Programs Assistant	E	00H	00H

Enclosure (3)

BUPERSINST 5400.9K
22 Sep 2000

Suggested Words for Functional Statements

Accomplishes	Effects; brings to completion
Accumulates	Brings together; collects
Administers	Directs execution of work
Advises	Counsels; suggests; gives information
Allocates	Apportions; gives; distributes
Analyzes	Studies situations to discover relationships
Approves	Officially sanctions
Assigns	Allots; fixes or designates
Compiles	Gathers; collects data
Conducts	Leads; guides or directs
Controls	Exercises power to stop, start, or change
Coordinates	Brings efforts into a single action
Creates	Brings into existence; originates
Develops	Advances; furthers; promotes the growth
Directs	Regulates activity; authoritatively leads
Distributes	Divides among; allots
Establishes	Enacts; ordains with permanence
Evaluates	Appraises; ascertains the value
Executes	Performs; effects; completes
Expedites	Accelerates or facilitates the process
Implements	Carries into effect; applies a plan
Maintains	Provides upkeep; keeps from declining
Performs	Carries out; executes an action

Plans	Devises or projects a program or method
Prepares	Makes ready
Provides	Supplies; furnishes
Receives	Accepts possession of
Recommends	Suggests; proposes
Reports	Accounts for; makes known the results of actions
Requests	Asks for; solicits action or comment
Retains	Holds; maintains possession
Reviews	Surveys; examines
Secures	Keeps safe; obtains possessions
Submits	Offers a recommendation or opinion
Verifies	Proves; substantiates the accuracy